



## THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

IN VIVO CTL ELICITATION BY HEAT SHOCK PROTEIN FUSION PROTEINS MAPS TO A DISCRETE DOMAIN AND IS CD4<sup>+</sup> T CELL-INDEPENDENT

the specification of which (check one)

☐ is attached hereto.

☒ was filed on January 16, 2001 as United States Application

Number or PCT International Application No. 09/761,534

and was amended on \_\_\_\_\_ (if applicable).

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<u>Prior Foreign Application(s)</u>			Priority Not Claimed	Certified Copy Filed?	
				YES	NO
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I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

60/176,143  
(Application Number)

January 14, 2000  
(Filing Date)

\_\_\_\_\_  
(Application Number)

\_\_\_\_\_  
(Filing Date)

(Application Serial No.)	(Filing date)	(Status: patented, pending, abandoned)
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and Patricia Granahan, Esq., Registration No. 32,227, of Whitehead Institute for Biomedical Research,  
Nine Cambridge Center, Cambridge, Massachusetts 02142.

**Please send correspondence to:**

[ X ] Customer No. 21005  
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.  
Two Militia Drive  
Lexington, MA 02421-4799

Direct telephone calls to: Anne J. Collins Telephone No.: 781-861-6240

Direct facsimiles to: Anne J. Collins Facsimile No.: 781-861-9540

Full name of sole  
or first inventor Qian Huang

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 79 Beverly Road  
Arlington, Massachusetts 02474

Citizenship China P.R.

Post Office Address Same as above

Full name of second joint

inventor, if any Joan F.L. Richmond

Inventor's Signature  Date 3.13.01

Residence 11 Palmer Street

Arlington, Massachusetts 02474

Citizenship U.S.

Post Office Address Same as above

Full name of third joint

inventor, if any Bryan K. Cho

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 1680 Daily Court

San Leonardo, California 94577

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Full name of fourth joint

inventor, if any Deborah Palliser

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Cambridge, Massachusetts 02138

Citizenship Great Britain

Post Office Address Same as above.

Full name of fifth joint

inventor, if any Jianzhu Chen

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

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Brookline, Massachusetts 02146

Citizenship U.S.

Post Office Address Same as above.

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Full name of sixth joint

inventor, if any Herman N. Eisen

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

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Waban, Massachusetts 02468

Citizenship U.S.

Post Office Address Same as above.

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Full name of seventh joint

inventor, if any Richard A. Young

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

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Weston, Massachusetts 02493

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DOCKET NO. 0399.2006-003



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and Patricia Granahan, Esq., Registration No. 32,227, of Whitehead Institute for Biomedical Research,  
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Full name of sole  
or first inventor Qian Huang  
Inventor's Signature Qian Huang Date 9/16/01  
Residence 79 Beverly Road  
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Citizenship China P.R.  
Post Office Address Same as above

-3-

## Full name of second joint

inventor, if any Joan F.L. Richmond

Inventor's Signature \_\_\_\_\_

Date \_\_\_\_\_

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-4-

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Inventor's Signature  \_\_\_\_\_ Date 3/15/01

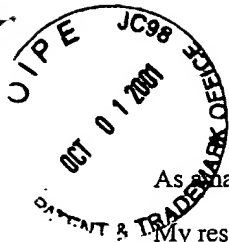
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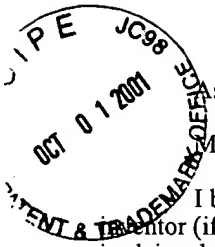
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WHI99-23

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Full name of fourth joint

inventor, if any Deborah Palliser  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 12-16 Ellery Street, Apt. 105  
Cambridge, Massachusetts 02138  
Citizenship Great Britain  
Post Office Address Same as above.

Full name of fifth joint

inventor, if any Jianzhu Chen  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence 17 Stearns Road, #6  
Brookline, Massachusetts 02146  
Citizenship U.S.  
Post Office Address Same as above.

-----  
Full name of sixth joint

inventor, if any Herman N. Eisen

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 9 Homestead Street

Waban, Massachusetts 02468

Citizenship U.S.

Post Office Address Same as above.

-----  
Full name of seventh joint

inventor, if any Richard A. Young

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 216 Highland Street

Weston, Massachusetts 02493

Citizenship U.S.

Post Office Address Same as above.

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::ODMA\MHODMA\iManage.201289;1

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

DOCKET NUMBER: 0399.2006-003

Applicant or Patentee: Qian Huang, Joan F.L. Richmond, Bryan K. Cho, Deborah Palliser, Manzhu Chen, Herman N. Eisen and Richard A. Young  
Serial or Patent No.: 09/761,534  
Filed or Issued: January 16, 2001  
Title: In Vivo CTL Elicitation by Heat Shock Protein Fusion Proteins Maps to a Discrete Domain and is CD4<sup>+</sup> T Cell-Independent

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Whitehead Institute for Biomedical Research  
ADDRESS OF NONPROFIT ORGANIZATION Nine Cambridge Center  
Cambridge, Massachusetts 02142

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C.501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF  
LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby declare the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.  
☒ each such person, concern or organization is listed below.

StressGen Biotechnologies, Corp.  
120-4243 Glanford Avenue  
Victoria, British Columbia  
V8Z 4B9 Canada

Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, Massachusetts 02139

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Patricia Granahan, Esq.

TITLE IN ORGANIZATION OF PERSON SIGNING Intellectual Property Manager

ADDRESS OF PERSON SIGNING Whitehead Institute for Biomedical Research, Nine Cambridge Center  
Cambridge, Massachusetts 02142

SIGNATURE Patricia Granahan DATE March 26, 2001

::ODMA\HODMA\Manage;201842;1

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))-SMALL BUSINESS CONCERN

DOCKET NUMBER: 0399.2006-003

Applicant or Patentee: Qian Huang, Joan F.L. Richmond, Bryan K. Cho, Deborah Palliser, Jianzhu Chen, Herman N. Eisen and Richard A. Young

Application or Patent No.: 09/761,534

Filed or Issued: January 16, 2001

Title: In Vivo CTL Elicitation by Heat Shock Protein Fusion Proteins Maps to a Discrete Domain and is CD4<sup>+</sup> T Cell-Independent

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN StressGen Biotechnologies, Corp.

ADDRESS OF SMALL BUSINESS CONCERN 120-4243 Glanford Avenue

Victoria, British Columbia, V8Z 4B9 CANADA

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416 or you may call 202-205-6618.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.  
☒ each such person, concern, or organization is listed below.

Whitehead Institute for Biomedical Research  
Nine Cambridge Center  
Cambridge, Massachusetts 02142

Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, Massachusetts 02139

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING DANIEL L. KORPOLINSKI

TITLE OF PERSON IF OTHER THAN OWNER PRESIDENT & CEO

ADDRESS OF PERSON SIGNING STRESS GEN BIOTECHNOLOGIES CORP, 350-4243 GLANFORD AVE., VICTORIA, BC  
CANADA V8Z 4B9

SIGNATURE Daniel L. Korpinski DATE \_\_\_\_\_

(37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION

**DOCKET NUMBER: 0399.2006-003**

Applicant or Parent(s): Qian Huang, Joon F. Richmond, Bryan K. Cho, Deborah Palliser, Jianzhu Chen, Herman N. Eisen and Richard A. Young  
 Serial or Patent No.: 09/761,534  
 Filed or Issued: January 16, 2001  
 Title: In Vivo CTL Elicitation by Heat Shock Protein Fusion Proteins Maps to a Discrete Domain and is CD4<sup>+</sup> T Cell-Independent

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION

Massachusetts Institute of Technology

ADDRESS OF NONPROFIT ORGANIZATION

77 Massachusetts Avenue

**Cumbridge Massachusetts 02139**

TYPE OF NONPROFIT ORGANIZATION:

UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
TAX EXEMPT UNDER INTERNAL REVENUE CODE SECTION 501(C)(3)

TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER

NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE

(CITATION OF STATUTE)

WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C 501(a) and 501(c)(3)) IF  
LOCATED IN THE UNITED STATES OF AMERICA

WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE

(CITATION OF STATUTE)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees in the United States Patent and Trademark Office regarding the invention described in:

[ ] the specification filed herewith with title as listed above.  
[ x ] the application identified above.  
[ ] the patent identified above.

I hereby declare the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, owner or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below

no such person, concern, or organization exists.

[X] each such person, concern or organization is listed below

**StressGen Biotechnologies, Corp**  
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Victoria, British Columbia  
V8Z 4B9 Canada

Whitehead Institute for Biomedical Research  
Nine Cambridge Center  
Cambridge, Massachusetts 02142

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b))

NAME OF PERSON SIGNING Rita Filipowicz

TITLE IN ORGANIZATION OF PERSON SIGNING Parent Administrator

ADDRESS OF PERSON SIGNING Massachusetts Institute of Technology, 77 Massachusetts Avenue, Cambridge, Massachusetts 02139

SIGNATURE *John J. Higgins* DATE 9/27/01  
OPMAWHDOPMAWHDgo.209598:1

ODMAWHD ODMAWHD 209598:1